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MESSAGE: FOR SERIAL NO. 09/833,273 following is a Preliminary Amendment on 3 pages with a transmittal form on 1 page for a total of 4 pages plus this cover sheet.

TITLE: PRODUCT WARRANTY REGISTRATION SYSTEM AND METHOD

FILED: APRIL 12, 2001

INVENTOR: ELLIOT KLEIN

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<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)		Application Number	09/833,273
		Filing Date	April 12, 2001
		First Named Inventor	Klein
		Art Unit	3229
		Examiner Name	Fisher
Total Number of Pages in This Submission	4	Attorney Docket Number	103413A

ENCLOSURES (check all that apply)				
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Other Enclosure(s) (please identify below):		
<table border="1"> <tr> <td>Remarks</td> <td></td> </tr> </table>			Remarks	
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## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Michael B. Fein
Signature	<i>Michael B. Fein</i>
Date	Sept. 17, 2003

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.			
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This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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DOCKET NO. 103413A

PATENT *#4*

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re application of Elliot Klein

Serial No: 09/833,273

Art Unit : 3629

Filed April 12, 2001

Examiner : Michael J. Fisher

Title: PRODUCT WARRANTY REGISTRATION SYSTEM AND METHOD

I hereby certify that this correspondence is being facsimile  
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*Michael B. Fein*  
Michael B. Fein, Reg. 25, 333

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**SUBMISSION OF INTERNATIONAL SEARCH REPORT**

Applicant wishes to call to the attention of Examiner Fisher the fact that a favorable International Preliminary Examination Report was issued by the USPTO as the International Patent Examination Authority on July 11, 2003, a copy of which is enclosed herewith.

Since Claims 1-19 met the criteria with respect to novelty, inventive step and industrial applicability, it is assumed that the above-referenced corresponding U. S. Application would be allowable.

COZEN O'CONNOR

Date: Aug. 25, 2003

*Michael B. Fein*

By: Michael B. Fein, Reg. 25,333  
COZEN O'CONNOR  
1900 Market St.  
Philadelphia, PA 19103

**OFFICIAL**

## PATENT COOPERATION TREATY

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**PCT** JUL 17 2003

NOTIFICATION ~~OF DATE~~ <sup>11/10/03</sup> ~~SMITTAL~~ <sup>HA</sup> OF  
 INTERNATIONAL ~~PRELIMINARY~~ <sup>HA</sup>  
 EXAMINATION ~~REPORT~~ <sup>HA</sup>

(PCT Rule 71.1)

Date of Mailing  
 (day/month/year)

**11 JUL 2003**

Applicant's or agent's file reference

103413 - **PCT**

**IMPORTANT NOTIFICATION**

International application No.

International filing date (day/month/year)

Priority date (day/month/year)

PCT/US01/17112

26 May 2001 (26.05.2001)

12 April 2001 (12.04.2001)

Applicant

**KLEIN, ELLIOT**

1. The applicant is hereby notified that this International Preliminary Examining Authority transmits herewith the international preliminary examination report and its annexes, if any, established on the international application.
2. A copy of the report and its annexes, if any, is being transmitted to the International Bureau for communication to all the elected Offices.
3. Where required by any of the elected Offices, the International Bureau will prepare an English translation of the report (but not of any annexes) and will transmit such translation to those Offices.
4. **REMINDER**

The applicant must enter the national phase before each elected Office by performing certain acts (filing translations and paying national fees) within 30 months from the priority date (or later in some Offices) (Article 39(1)) (see also the reminder sent by the International Bureau with Form PCT/IB/301).

Where a translation of the international application must be furnished to an elected Office, that translation must contain a translation of any annexes to the international preliminary examination report. It is the applicant's responsibility to prepare and furnish such translation directly to each elected Office concerned.

For further details on the applicable time limits and requirements of the elected Offices, see Volume II of the PCT Applicant's Guide.

Name and mailing address of the IPEA/US

Mail Stop PCT, Attn: IPEA/US  
 Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450

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Form PCT/IPEA/416 (July 1992)

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Hyung Sough

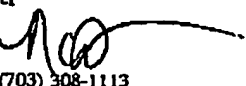
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## PATENT COOPERATION TREATY

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## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

Applicant's or agent's file reference 103413B	<b>FOR FURTHER ACTION</b> See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416)	
International application No. PCT/US01/17112	International filing date (day/month/year) 26 May 2001 (26.05.2001)	Priority date (day/month/year) 12 April 2001 (12.04.2001)
International Patent Classification (IPC) or national classification and IPC IPC(7): G08B 13/14 and US Cl.: 340/572.3		
Applicant KLEIN, ELLIOT		
<p>1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.</p> <p>2. This REPORT consists of a total of <u>3</u> sheets, including this cover sheet.</p> <p><input checked="" type="checkbox"/> This report is also accompanied by ANNEXES, i.e., sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).</p> <p>These annexes consist of a total of <u>3</u> sheets.</p>		
<p>3. This report contains indications relating to the following items:</p> <p>I <input checked="" type="checkbox"/> Basis of the report</p> <p>II <input type="checkbox"/> Priority</p> <p>III <input type="checkbox"/> Non-establishment of report with regard to novelty, inventive step and industrial applicability</p> <p>IV <input type="checkbox"/> Lack of unity of invention</p> <p>V <input checked="" type="checkbox"/> Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement</p> <p>VI <input type="checkbox"/> Certain documents cited</p> <p>VII <input type="checkbox"/> Certain defects in the international application</p> <p>VIII <input type="checkbox"/> Certain observations on the international application</p>		
Date of submission of the demand 20 December 2002 (20.12.2002)	Date of completion of this report 04 June 2003 (04.06.2003)	
Name and mailing address of the IPEA/US Mail Stop PCT, Attn: IPEA/US Commissioner for Patents P.O. Box 1450 Alexandria, Virginia 22313-1450 Facsimile No. (703)305-3230	Authorized officer Hyung Sough  Telephone No. (703) 308-1113	

Form PCT/IPEA/409 (cover sheet) (July 1998)

## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No.

PCT/US01/17112

## I. Basis of the report

## 1. With regard to the elements of the international application:\*

- ☐ the international application as originally filed.
- ☒ the description:  
pages 1-20 as originally filed  
pages NONE filed with the demand  
pages NONE filed with the letter of \_\_\_\_\_
- ☒ the claims:  
pages NONE as originally filed  
pages 21-23 as amended (together with any statement) under Article 19  
pages NONE filed with the demand  
pages NONE filed with the letter of \_\_\_\_\_
- ☐ the drawings:  
pages NONE as originally filed  
pages NONE filed with the demand  
pages NONE filed with the letter of \_\_\_\_\_
- ☐ the sequence listing part of the description:  
pages NONE as originally filed  
pages NONE filed with the demand  
pages NONE filed with the letter of \_\_\_\_\_

## 2. With regard to the language, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.

These elements were available or furnished to this Authority in the following language \_\_\_\_\_ which is:

- ☐ the language of a translation furnished for the purposes of international search (under Rule 23.1(b)).
- ☐ the language of publication of the international application (under Rule 48.3(b)).
- ☐ the language of the translation furnished for the purposes of international preliminary examination (under Rules 55.2 and/or 55.3).

## 3. With regard to any nucleotide and/or amino acid sequence disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:

- ☐ contained in the international application in printed form.
- ☐ filed together with the international application in computer readable form.
- ☐ furnished subsequently to this Authority in written form.
- ☐ furnished subsequently to this Authority in computer readable form.
- ☐ The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.
- ☐ The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

4. ☐ The amendments have resulted in the cancellation of:

- ☐ the description, pages NONE
- ☐ the claims, Nos. NONE
- ☐ the drawings, sheets/fig NONE

5. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed, as indicated in the Supplemental Box (Rule 70.2(c)).\*\*

\* Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rules 70.16 and 70.17).

\*\* Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.

Form PCT/IPEA/409 (Box I) (July 1998)

## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No.  
PCT/US01/17112**V. Reasoned statement under Rule 66.2(a)(ii) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement****1. STATEMENT**

Novelty (N)	Claims <u>1-19</u>	YES
	Claims <u>NONE</u>	NO
Inventive Step (IS)	Claims <u>1-19</u>	YES
	Claims <u>NONE</u>	NO
Industrial Applicability (IA)	Claims <u>1-19</u>	YES
	Claims <u>NONE</u>	NO

**2. CITATIONS AND EXPLANATIONS**

Claims 1-19 meet the criteria set out in PCT Article 33(2)-(3), because the prior art does not teach or fairly suggest a system that returns lost products to the owner based on warranty information filed with the manufacturer.

Claims 1-19 meet the criteria set out in PCT Article 33(4), and thus have industrial applicability because the subject matter claimed can be made or used in industry.

Form PCT/IPEA/409 (Box V) (July 1998)

PCT/US01/17112.01112002

## 5 CLAIMS

1. A method for returning lost objects to their owners comprising providing a radio frequency identification (RFID) tag to the owner for application to the owner's object or supplying the object with the tag preaffixed, the tag having a unique identification code number electronically recorded within the tag and a visible printed request to any finder to  
10 contact a package delivery service; storing the unique identification code number and corresponding owner information, including owner address information and owner billing account information, in a computer system which is accessible over the Internet by the package delivery service; providing RFID tag readers at the package delivery services; upon return of any lost object to a package delivery service, reading the RFID tag identification  
15 code number, accessing the corresponding owner information over the Internet from the computer system, returning the object to the owner, and using the owner's billing account information to charge the owner for the return of the object to the owner.

2. Method of claim 1 wherein the printed instructions include a promise of a reward if the finder returns the object to the package delivery service.

20 3. Method of claim 1 further including, automatically notifying the owner that the object has been found, that it is being returned to the owner's address recorded in the computer system, and that the owner's credit card is being charged for the return delivery and any reward paid by the package delivery service to the finder of the lost object.

4. Method of claim 1 wherein the tag identification read by the RFID reading device  
25 is sent by the package delivery service as a query to a remote computer system over the Internet and the remote computer system answers the query by providing owner identification information, and the package delivery service in turn uses the owner information to return the object to the owner.

5. A method for obtaining warranty registration of products, facilitating return of lost  
30 products, and expediting warranty service on defective products comprising providing a unique identifier on or within each product; providing a lost and found system comprising the steps of marking each product with return instructions and a reward offer to any person who finds said product after it has been lost; and offering to return each product to a registered owner in the event said product is lost and returned by said person who finds it if said owner  
35 provides data comprising owner identification and date said product was purchased at retail; and providing said data to a manufacturer or other warrantor in order to register said warranty.

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AMENDED SHEET



IPEA/US

PCT/US01/17112-01112002

5 6. Method of claim 5 wherein upon said product being lost and then returned to a return location by any said person who finds said product, said data is accessible at said return location or by a return agent, thereby facilitating identification of said owner and owner address, whereupon said product can be returned by said return agent.

10 7. Method of claim 5 wherein said return instructions and reward offer to any person who finds said product after it has been lost are contained in a label which includes an RFID, and said unique identifier on or within each product sold by said manufacturer is electronically recorded in said RFID.

15 8. Method of claim 5 wherein said consumer purchaser or owner identification information and date said product was purchased at retail are provided by said consumer purchaser at said point of purchase at retail.

9. Method of claim 5 wherein said consumer purchaser or owner identification information and date said product was purchased at retail are provided at said point of purchase at retail by automatically accessing customer identification information provided to said retail seller in connection with said purchase and said date of purchase.

20 10. Method of claim 5 wherein said owner information is maintained by an operator of said return service in a computer server which is accessible from client computers over the Internet, and when an product is returned, said product is identified by said unique identifier on or within said product, said server is queried with said identifier, and arrangements are made for return of said product to said owner and payment of a reward to said finder.

25 11. Method of claim 5 wherein said owner information which comprises owner name, address and billing authorization is maintained by an operator of said return service in a computer server which is accessible from client computers over the Internet, and when an product is returned, it is identified by said unique identifier on or within said product, said server is queried with said identifier, and arrangements are made for return of said product to  
30 said owner, payment of a reward to said finder, and charging said amount of said reward plus a service fee to said owner, using said billing authorization.

35 12. Method of claim 5 wherein said return instructions and a reward offer to any person who finds said product after it has been lost are contained in a label which includes a sticker transponder adapted to be affixed to a product surface, comprising a flexible circuit substrate having an antenna formed thereon and a transponder circuit disposed on said substrate and coupled to said antenna.

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PCT/US01/17112 .01.11.2002

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13. Method of claim 12 wherein said sticker transponder comprises an adhesive layer coupled to a first surface of said flexible circuit substrate.

14. Method of claim 13 wherein said sticker transponder comprises a release liner affixed to said adhesive layer, said release liner being selectively removable to permit said sticker to be affixed to said product.

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15. Method of claim 14 wherein said sticker transponder comprises an indicia layer coupled to a second surface of said flexible circuit substrate opposite from said first surface, said indicia layer comprising a space permitting indicia to be printed thereon.

16. Method of claim 15 wherein said transponder circuit further includes a memory.

15

17. Method of claim 5 wherein said product is an electronic product which has an electronic display screen and said return instructions and a reward offer are automatically displayed on said screen when said electronic product is powered on.

20

18. Method of claim 5 wherein a product is delivered for repair to a package delivery or overnight courier service which has means to access to said warranty registration data which is stored on a remote computer storage medium by reading said unique identifier on or within said product, and wherein said service thereby determines whether said warranty is in force and a warranty service location to which to deliver said defective product.

25

19. Method of claim 5 wherein said unique identifier on or within each product sold by said manufacturer is electronically recorded in an RFID device embedded within a label on which are printed return instructions which identify a package delivery or courier service which is equipped to read said RFID device, wherein said package or courier service has means to access owner identification, owner address, and warranty information corresponding to said unique identifier, and wherein said service thereby returns lost products to their owners and delivers defective products to an authorized warranty service location.

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AMENDED SHEET